

**U.S. DEPARTMENT OF ENERGY
NATIONAL NUCLEAR SECURITY ADMINISTRATION
NEVADA OPERATIONS OFFICE**

MANUAL

NV M 450.3XB

Approved: 06-20-02
Review Date: 06-20-04
Expires: 06-20-06

WORK SMART STANDARDS MANUAL



INITIATED BY:
**Office of the Assistant Manager for
National Security**

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1. OBJECTIVE. To provide local requirements, responsibilities, definitions, and procedures for control of the National Nuclear Security Administration Nevada Operations Office (NNSA/NV) Nevada Work Smart Standards (NV-WSS), B2, and B3 lists of Directives which comprise the primary sets of Standards which may be included in NNSA/NV contracts. Such contract Standards are required by the Department of Energy (DOE) Acquisition Regulation (DEAR) 970.5204.78 Laws, Regulations, and DOE and NNSA Directives for use by NNSA/NV Performance-Based Management contracts, Security Service contracts, and other participating organizations in the performance of all work under NNSA/NV. Application of the agreed to contract Standards will provide confidence that the public, the workers, and the environment are protected from adverse consequences and the work will be accomplished in a cost effective manner.
2. CANCELLATION. NV M 450.3XA, WORK SMART STANDARDS MANUAL, dated 8-22-00, and Changes thereto.
3. APPLICABILITY.
 - a. NNSA/NV Organizational Elements. The provisions of this Manual apply to NNSA/NV organizational elements.
 - b. Contractors.
 - (1) The requirements applicable to the NNSA/NV contractors, national laboratories, other federal agencies, and other user organizations are set forth in the Contractor Requirements Document (CRD), Attachment 1. Compliance with the CRD will be required to the extent set forth in a contract or agreement.
 - (2) Not all users of NNSA/NV resources or under contract to NNSA/NV are contractually bound to NV-WSS. When NV-WSS are not invoked through contract or agreement, "other sets of Standards" are agreed to and reflected in the applicable contracts or agreements. The B2 and B3 lists of Directives are examples of "other sets of Standards" established to cover work that is exempted from the NV-WSS, but may eventually be subject to the Necessary and Sufficient closure process. Change control of the B2 and B3 lists is defined in this Manual.

4. REQUIREMENTS.

- a. Implement the NV-WSS, B2, and B3 lists for work activities conducted under the purview of NNSA/NV, using procedures as defined in the Chapters of this Manual.
- b. The NNSA/NV Performance-Based Management contract, Security Services contract, other contracts as determined by Contracting Officer, and other agreements as determined by NNSA/NV Manager, will include provisions to implement the NV-WSS or “other sets of Standards” for the protection of workers, the public, and the environment from adverse consequences.

5. RESPONSIBILITIES.

a. NNSA/NV Manager.

- (1) Designates and authorizes the Change Review Group (CRG) membership as defined in Chapter I.
- (2) Reviews and approves documentation of the applicable NV-WSS to specific sites, facilities, and/or activities when appropriate. Approval of short-term Standards may be accomplished as a part of the review and approval of applicable Real Estate/Operations Permits (REOP), and changes thereto.

b. NNSA/NV Deputy Manager.

- (1) Serves as chairperson of the CRG and provides management leadership and direction on the establishment, maintenance, and control of changes to the NV-WSS, as described in this Manual.
- (2) Serves as the Certifying Official and ensures the competency of all personnel providing support to the CRG and issue waivers from specified requirements.
- (3) Serves as the Contracting Officer and dispositions recommendations from the CRG regarding contracts incorporating the NV-WSS.

c. Assistant Manager for National Security (AMNS).

- (1) Serves as NNSA/NV member of the CRG, and in the absence of the chairperson, serves as the alternate chairperson, CRG.
- (2) Provides qualified personnel resources to support CRG activities, including CRG coordinators, Subject Matter Experts (SME), independent reviews, and Standards Identification Team (SIT) members as requested by the CRG chairperson.
- (3) Provides a CRG coordinator to serve as the focal point for coordination and support for operation of the CRG.
- (4) Serves as the Office of Primary Responsibility (OPR) for this Directive.
- (5) Reviews and approves documentation of the applicable NV-WSS to specific sites, facilities, and/or activities when appropriate. Approval of short-term Standards may be accomplished as a part of the approval of applicable REOPs, and changes thereto.
- (6) Ensures the maintenance, review, and update of the existing NV-WSS.
- (7) Ensures the conduct of ongoing reviews of new or revised Laws; Regulations; commercial Standards; DOE, NNSA, and NNSA/NV Directives; and Standards for inclusion in the NV-WSS.
- (8) Ensures the Format-1s for their functional areas are routinely reviewed to ensure their accuracy and completeness.

d. Assistant Manager for Technical Services (AMTS), Assistant Manager for Environmental Management (AMEM), and Assistant Manager for Business and Financial Services (AMBFS).

- (1) Serve as NNSA/NV members of the CRG, and in the absence of the chairperson and alternate chairpersons, may serve as alternate chairperson, CRG.
- (2) Provide qualified personnel resources to support CRG activities, including CRG coordinators, SMEs, independent reviews, and SIT members as requested by the CRG chairperson.

- (3) Provide a CRG coordinator to assist NNSA/NV division staff in the development of Baseline Change Requests (BCR), Format-1s, and other documentation for action by the CRG and ensure the NV-WSS processes are employed by SITs.
- (4) Review and approve documentation of the applicable NV-WSS to specific sites, facilities, and/or activities when appropriate. Approval may be accomplished as a part of the review and approval of applicable REOPs, and changes thereto.

e. Division Directors.

- (1) Review and approve documentation of the applicable NV-WSS to specific sites, facilities, and/or activities when appropriate. Approval of short-term Standards may be accomplished as a part of the approval of applicable REOP, and changes thereto.
- (2) Provide support in the ongoing review of the NV-WSS in accordance with Chapter IV.
 - (a) Conduct ongoing review of new or revised Laws; Regulations; DOE, NNSA, and NNSA/NV Directives; and Standards for inclusion in the NV-WSS.
 - (b) Monitor new and ongoing work for unanalyzed hazards and identifies Necessary and Sufficient (N&S) Standards for inclusion in the NV-WSS.
 - (c) Ensure the Format-1s for their functional areas are routinely reviewed to ensure their accuracy and completeness.
 - (d) Submit recommended additions or revisions to the NV-WSS to the CRG for action, in accordance with Chapter IV, "Baseline Change Request."

f. Communication Services Division (CSD).

- (1) Appoints a representative to serve as the DOE, NNSA, and NNSA/NV Directives System interface representative to the CRG.

- (2) Maintains Document Control Systems for NNSA/NV including the NV-WSS availability on the NNSA/NV WSS Home Page and BCRs with their supporting documentation generated through this Directive.

g. Contracts and Property Management Division (CPMD).

- (1) Advises the CRG membership, NNSA/NV, national laboratories, and Contracts staff on the incorporation of contract administration activities related to DOE, NNSA, and NNSA/NV Directives into applicable contract(s).
- (2) Processes DOE, NNSA, and NNSA/NV Directives for incorporation into applicable contract(s) in accordance with this Manual, NV M 450.3XB.

h. Human Resources Division (HRD). Stores and maintains NV-WSS qualification records.

i. NNSA/NV Principal Staff.

- (1) Provides qualified SMEs, Independent Reviewers (IR), and SIT members at the request of the CRG chairperson.
- (2) When serving as NNSA/NV OPR and/or Functional Manager on matter relating to a DOE, NNSA, and NNSA/NV Directive, provides support to the ongoing review of the NV-WSS (see Chapter IV).
 - (a) Conducts ongoing review of new or revised Laws; Regulations; commercial Standards; DOE, NNSA, and NNSA/NV Directives; and Standards for possible inclusion in the NV-WSS.
 - (b) Monitors new and ongoing contractor work for unanalyzed hazards to identify N&S Standards for inclusion in the NV-WSS.
 - (c) Ensures the Format-1s for their functional areas are routinely reviewed to ensure their accuracy and completeness.
 - (d) Submits and recommends additions or revisions to the NV-WSS to the CRG for action.

j. CRG Coordinator.

- (1) Provides guidance and assistance to personnel on the NV-WSS qualification process.
- (2) Processes Resumes and Personnel Certification documentation in accordance with this Manual.
- (3) Maintains a list of qualified and certified CRG members, SIT members, Coordinators, SMEs, and IRs.
- (4) Records, distributes, and retains records of CRG meeting minutes.
- (5) Retains record copy of BCRs and their supporting documentation.
- (6) Coordinates BCR reviews.
- (7) Mentors SMEs, SITs, and IRs in the performance of CRG processes.
- (8) Provides official record copies of approved Standards changes to CPMD for contract revision.
- (9) Provides official record copies of approved Standards changes to the CSD Directives Management Center (DMC) for NV-WSS Home Page updating.

6. REFERENCES.

- a. DOE O 251.1A, DIRECTIVE SYSTEM, dated 1-30-98.
- b. DOE M 251.1A, DIRECTIVE SYSTEM MANUAL, dated 1-30-98.
- c. DOE P 450.3, AUTHORIZING USE OF THE NECESSARY AND SUFFICIENT PROCESS FOR STANDARDS-BASED ENVIRONMENT, SAFETY, AND HEALTH MANAGEMENT, dated 1-25-96.
- d. DOE M 450.3-1, THE DEPARTMENT OF ENERGY CLOSURE PROCESS FOR NECESSARY AND SUFFICIENT SETS OF STANDARDS, dated 1-25-96.

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- e. DOE G 450.3-1, DOCUMENTATION FOR WORK SMART STANDARDS APPLICATIONS: CHARACTERISTICS AND CONSIDERATIONS, dated 2-1-97.
- f. DOE G 450.3-2, ATTRIBUTES OF EFFECTIVE IMPLEMENTATION OF WORK SMART STANDARDS, dated 2-1-97.
- g. DOE G 450.3-3, TAILORING FOR INTEGRATED SAFETY MANAGEMENT APPLICATIONS, dated 2-1-97.
- h. DOE P 450.4, INTEGRATED SAFETY MANAGEMENT POLICY, dated 10-15-96.
- i. NV M 111.XA, FUNCTIONS, RESPONSIBILITIES, AND AUTHORITIES MANUAL, dated 9-7-00.
- j. NV M 251.1-1B, NNSA/NV DIRECTIVES SYSTEM MANUAL, dated 4-15-02.
- k. NV M 412.X1B, REAL ESTATE/OPERATIONS PERMIT, dated 8-22-00, and Changes thereto.
- l. NV P 450.4B, SAFETY MANAGEMENT SYSTEMS POLICY, dated 8-24-00.
- m. DEAR 970.5204-2, *Integrating ES&H Planning into the Work*, dated June 1997 (renumbered to 970.5223-1 by rule published 12-22-00 in 65 Federal Register (FR) 80994).
- n. DEAR 970.5204-78, *Laws, Regulations, and DOE Directives*, dated June 1997 (renumbered to 970-5204-2 by rule published 12-22-00 in 65 FR 80994).

7. DEFINITIONS.

- a. Agreement Parties. The NNSA/NV Manager or Contracting Officer and the Senior Manager(s) of an affected organization which has adopted the NV-WSS by contract or agreement. With respect to national laboratories (Lawrence Livermore National Laboratory (LLNL), Los Alamos National Laboratory (LANL), and Sandia National Laboratories (SNL), the agreement parties include the Laboratory Directors, the NNSA Albuquerque Operations Office Manager, and the NNSA Oakland Operations Office Manager.

- b. B2 List Directives. Directives applicable to categories of work activities which were exempted from the NV-WSS process. These categories are nuclear device assembly/disassembly, energetic experiments with special nuclear material, nuclear explosive safety, safeguards and security of special nuclear material, classification of information, and national emergency response assets.
- c. B3 List Directives. Directives applicable to facility specific work activities at the Device Assembly Facility.
- d. Certification. The act of verifying and attesting in writing to the qualifications of personnel for a specified period of time.
- e. Change Review Group. A group of NNSA/NV, contractor, laboratory, and Nevada Test Site (NTS) user management representatives chartered to serve as the NNSA/NV Convene Group.
- f. Consensus. Agreement by all members of the CRG.
- g. Convene Group. A group of representatives appointed by agreement parties established to define the NV-WSS, control and approve changes of, and maintain the integrity of the NV-WSS process.
- h. CRG Coordinator. An NNSA/NV individual assigned to administratively support the CRG chairperson.
- i. CRG Member. An organization's representative(s) assigned to serve under the chairperson of the CRG. The member represents the interests of his/her organization and participates in the deliberations and consensus recommendations on BCRs and other CRG actions, and ensures administrative and technical support are provided to the CRG as requested.
- j. Format-1 Documents. The resulting product of the WSS planning process to be used by contractors, national laboratories, other federal agencies, and other users conducting work under the purview of NV-WSS. NNSA/NV will use the WSS as the basis for their oversight of the work.
- k. Indoctrination. Reading assignments provided for familiarization with programmatic and work processes applicable to the NV-WSS.

- l. Nevada Work Smart Standards. The Laws; Regulations; commercial Standards; DOE, NNSA, and NNSA/NV Directives; Standards; and other documents listed on Format-1s to be applied as the mandatory set of requirements in the performance of the work activities defined in the Format-1s. The NV-WSS are controlled by the CRG and incorporated into the contract(s) by contract modification.
- m. NNSA/NV WSS Home Page. Used for information only to identify the status of NV-WSS applicable to NNSA/NV Performance-Based Management contracts, Security Service contracts, and other participating organizations in the performance of all work under NNSA/NV.
- n. Other Sets of Standards. Other sets of Directives and/or Standards approved by NNSA/NV (examples include Lists B2 and B3 for laboratory associated work, and the B list in the International Technology Corporation contract). Maintenance and control for the B2 and B3 lists for laboratory work by the CRG.
- o. Qualification. The characteristics or abilities gained through education, training, or experience that qualify an individual to perform a required function.
- p. Qualification Process. An approved procedure/process which has been demonstrated to meet the specified requirements for its intended purpose.
- q. Short-Term Activity. Any activity with a duration of 90 days or less, not recurring, and for which Standards are to be applied that are not currently in the approved NV-WSS or other sets of Standards.
- r. Short-Term Standards. Laws; Regulations; commercial Standards; DOE, NNSA, or NNSA/NV Directives; Standards; and/or other documents applicable to a short-term activity. Such short-term Standards are approved as a part of the REOPs' approval process.
- s. SMEs and IRs. Individuals, qualified in accordance with this Manual, for the purpose of supporting a SIT or evaluating BCRs.
- t. Standards Identification Team. A group of individuals representing the Agreement Parties, qualified in accordance with this Manual, assembled for the purpose of establishing Standards and the NV-WSS documentation for a specific work activity.

- u. Waiver. Documented authorization to depart from specified qualification requirements.
8. CONTACT. Questions concerning this Manual will be addressed to the Office of AMNS at (702) 295-1129.



Kathleen A. Carlson
Manager

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CHAPTER I

NV-WSS CRG

1. **BACKGROUND AND GOALS.** The NV-WSS CRG represents the Agreement Parties who have adopted the NV-WSS by contract or agreement and are subject to DEAR 970.5204-78, *Laws, Regulations, and DOE Directives*. The primary goals of the CRG are to:
 - a. Maintain the set of NV-WSS and the integrity of the NV-WSS process.
 - b. Provide a forum and opportunity for Agreement Parties to identify concerns and reach a consensus on appropriate changes to the NV-WSS.
2. **MEMBERSHIP.**
 - a. The NNSA/NV Manager designates at least three NNSA/NV federal employee members. Non-NNSA/NV Agreement Parties may have up to two members each. A full forum would include:
 - (1) **Chairperson.** Deputy Manager (Alternate: AMNS, AMEM, AMTS, or AMBFS).
 - (2) **Members.** AMNS, AMEM, AMTS, and AMBFS, two members each; Bechtel Nevada, two; LANL, two; LLNL, two; SNL, two; Defense Threat Reduction Agency, two; and Wackenhut Services, Inc., two.
 - (3) **Coordinator.** AMNS, NNSA/NV.
 - b. The desire is to have a quorum for each CRG meeting. However, in the absence of a quorum, the chairperson may elect to continue with the meeting. A quorum will include the chairperson or an alternate chairperson, and at least one qualified representative present from each member organization. A CRG member may designate, by letter or e-mail, another CRG member to act in their behalf (proxy).

3. DECISION APPROACH.

- a. Recommendations to the CRG chairperson will be made by a consensus of CRG members.
- b. Disposition of BCRs and approval of SIT participants will be made by consensus of CRG members.
- c. The CRG chairperson may request a consensus vote via e-mail.
- d. The NNSA/NV Manager reserves the right to make final decisions in cases where consensus cannot be reached.

4. MEETING. Meetings will be scheduled once a month or as needed.

5. PROCEDURES. Operation of the CRG will be governed by this Manual.

CHAPTER II

QUALIFICATION AND CERTIFICATION

1. OBJECTIVE. To describe the requirements and process for individual qualification, and certification.
2. APPLICABILITY. To personnel assigned as members of the CRG or to perform work for the CRG.
3. RESPONSIBILITIES. The CRG chairperson is responsible for ensuring personnel assigned to perform work for the CRG are properly qualified and certified.
4. REQUIREMENTS.
 - a. Individuals that are to serve as chairperson, alternates, members, and coordinators of the CRG, SIT members, SMEs, and IRs will meet the qualification and certification requirements of this chapter prior to performing CRG-related work.
 - b. Qualification Requirements.
 - (1) CRG chairperson, members, alternates, and coordinators; and SIT members will have:
 - (a) A broad understanding of NNSA/NV operations.
 - (b) Familiarity with commercial and/or industry Standards or practices.
 - (c) Technical knowledge of industry practices and management acumen on at least some of the work areas conducted under the purview of NNSA/NV and addressed by the NV-WSS Work Breakdown Structure (WBS) elements.

(d) Read and understand the following documents:

- 1 DOE P 450.3, AUTHORIZING USE OF THE NECESSARY AND SUFFICIENT PROCESS FOR STANDARDS-BASED ENVIRONMENT, SAFETY, AND HEALTH MANAGEMENT, dated 1-25-96.
- 2 DOE P 450.4, INTEGRATED SAFETY MANAGEMENT, dated 10-15-96.
- 3 NV M 450.3XB, WORK SMART STANDARDS MANUAL.
- 4 DEAR 970.5204-2, *Integration of Environment, Safety, and Health Into Work Planning and Execution*, and DEAR 970.5204-78, *Laws, Regulations, and DOE Directives*, dated June 1997, including associated contact appendices used to identify where the NV-WSS and other sets of Standards can be found on the Internet.

(2) SMEs and IRs will have:

- (a) Served for a minimum of five years in the capacity in which their expertise is being sought.
- (b) Documented verification of the SME or IR's knowledge of current practices in the technical area in which the employee's expertise is being sought.
- (c) Read and understand the documents listed under paragraph 4b(1)(d) of this chapter.
- (d) Professional certification or employment in a related field by another federal, state, or local regulating body may substitute for the time requirements of paragraph 4b(2)(a) of this chapter.

c. Qualifications of those individuals proposed to perform work for the CRG will be evaluated by the CRG, and accepted and certified by the chairperson when appropriate.

5. CERTIFICATION.

- a. CRG chairperson, designated by the NNSA/NV Manager, will meet the requirements of this procedure, and is authorized to sign his/her own formal certification in accordance with this procedure.
- b. The CRG chairperson will certify individuals to serve as coordinators.
- c. The CRG chairperson will certify SIT members, SMEs, IRs, and others performing work for the CRG who are subject to the formal qualification process described in this Directive.

6. QUALIFICATION DOCUMENTATION, SUMMARY RESUMES, SPECIALIZED EXPERTISE TABLE, AND PERSONNEL CERTIFICATIONS.

- a. Individuals will prepare their Summary Resume, a Specialized Expertise Table (Attachment 2, page 2-1), and a Personnel Certification (Attachment 3, page 3-1).
- b. Except for SIT members and IRs, individuals will submit the completed Summary Resume, Specialized Expertise Table, and Personnel Certification to their organization's CRG member who will forward it to the CRG coordinator for processing.
- c. The SIT Leader will submit similar documentation for SIT member and IR candidates to the CRG coordinator for processing.
- d. The CRG coordinator will provide copies of qualification documents to the CRG for review.
- e. When approved by the CRG, the chairperson will certify individuals as qualified.
- f. Copies of qualification documentation will be retained by NNSA/NV HRD and provided to the certified individuals for information.
- g. The CRG coordinator will maintain the names, business contacts, areas certified, and information of individuals certified to perform various functions for the CRG.

7. RECORD KEEPING.

- a. NNSA/NV HRD will maintain, on behalf of the CRG, the following information under a discrete system of records subject to the Privacy Act of 1974 that is separate from other NNSA/NV HRD records. Access to these records is limited to responsible CRG coordinators, members, and SIT members on a need-to-know basis.
 - (1) Summary Resumes.
 - (2) Personnel Certifications of Competency.
 - (3) Other related records, when appropriate.
 - (4) Specialized Expertise Tables.

CHAPTER III

STANDARDS CHANGE PROCESS

1. Any NNSA/NV contractor, laboratory, NTS user employee may initiate a change to the NV-WSS. Changes may be initiated to address new, changed, or outdated work activities, Standards, hazards and management issues, or implementation considerations.
2. Change requests in the form of BCRs will be submitted to the CRG through the organization's CRG member.
3. BCRs will be completed in accordance with Chapter IV of this Directive. All required fields will be completed prior to submitting the BCR to the CRG.
4. Copies of any Laws; Regulations; DOE, NNSA, or NNSA/NV Directives; commercial Standards; or other finalized requirement documents to serve as the Standards identified in the BCR and Format-1 will be included if needed for reference.
5. NEW WORK OR NEW HAZARD IDENTIFIED.
 - a. When new work or new hazards are identified, the identifying organization prepares a BCR describing the new issue, new Standards required, and changes needed in the current NV-WSS or other sets of Standards to address the issue(s). These proposed changes will be submitted to their organization's CRG member.
 - (1) The submitting organization's CRG member will submit an electronic copy of the BCR and all supporting documents to the NNSA/NV CRG coordinator.
 - (2) The NNSA/NV CRG coordinator will distribute the BCR and supporting documents to the other CRG members, add the BCR to the appropriate CRG meeting agenda, and the BCR Log maintained on the NNSA/NV WSS Home Page. BCRs will normally be distributed at a minimum of ten working days prior to the CRG meeting for which disposition action is requested.

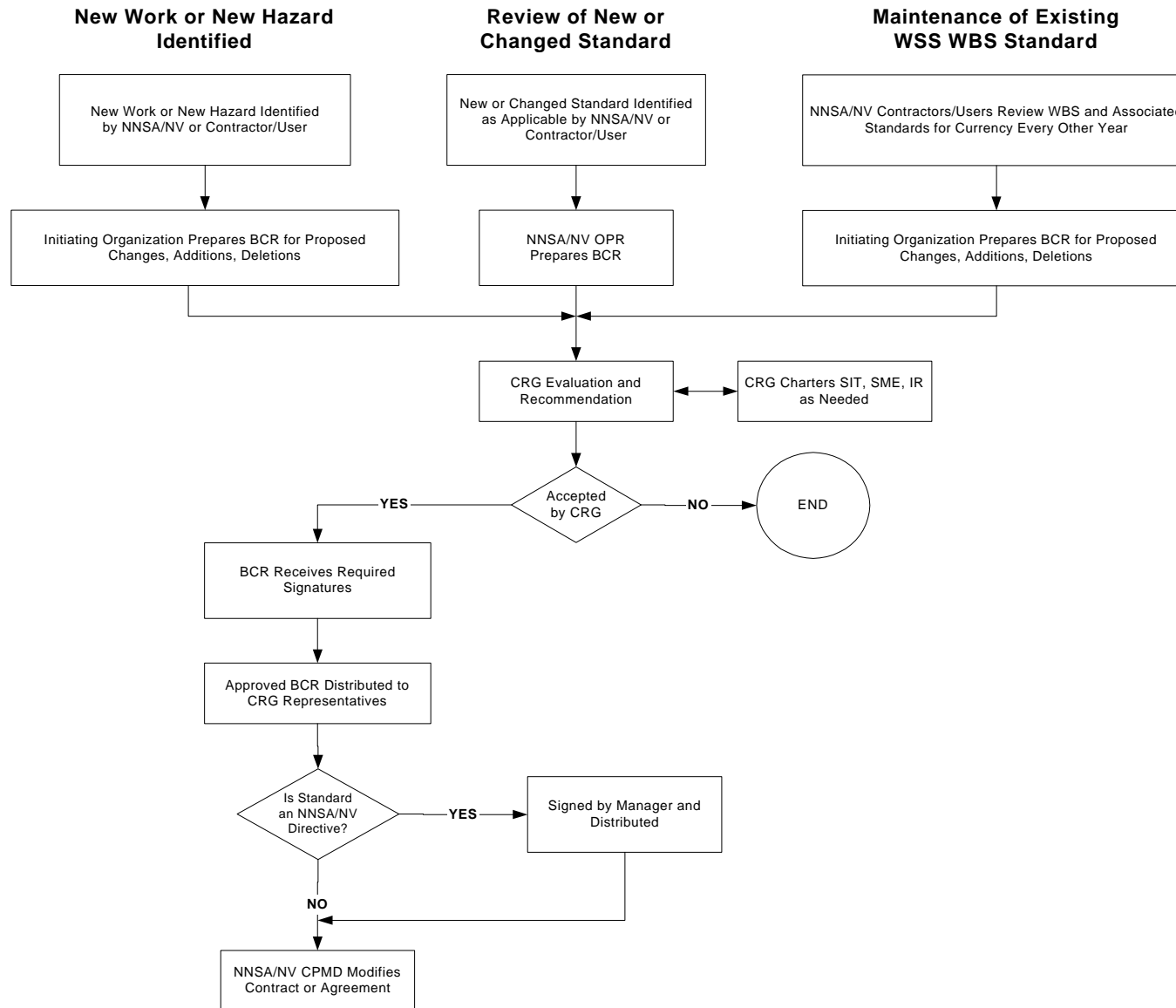
- b. At the next meeting after BCR distribution, or as indicated by the CRG meeting agenda, the initiating organization/OPR presents the BCR to the CRG for evaluation and recommendation.
 - (1) Once a BCR has been presented to the CRG, the CRG may charter a SIT, SME, or IR review as needed based on the complexity of the change or issues or to maintain the integrity of the NV-WSS process.
 - (2) The CRG members will determine the cost and schedule impacts associated with the changes proposed in the BCRs, as well as perform a technical accuracy review. All issues will be presented for discussion at the CRG meeting.
 - (3) Based on CRG member reviews, the CRG only approves, disapproves or tables a BCR. Any BCR not entirely approved or disapproved is considered tabled and will be revisited at future meetings after all issues have been addressed. The CRG at that time will revisit the proposal.
- c. BCR Disposition.
 - (1) Approved the BCR.
 - (a) BCR receives the required signature(s).
 - (b) Approval of the BCR is noted in the meeting minutes and the BCR Log on the NNSA/NV WSS Home Page.
 - (c) Approved BCR is distributed to CRG members.
 - (d) If the BCR includes acceptance of a final draft NNSA/NV Directive, it is signed by the Manager, distributed, and added to the NNSA/NV DMC Home Page.
 - (e) CPMD will modify the affected contracts or agreements reflecting the change in Standards.
 - (2) Disapproved the BCR.
 - (a) BCR receives the required signature(s).

- (b) Disapproval of the BCR is noted in the meeting minutes, the BCR Log on the NNSA/NV WSS Home Page, and the Directive is dropped.
- (3) Tabled BCR.
 - (a) A BCR is tabled whenever additional time or information is needed to complete the evaluation or when the BCR or its accompanying documentation needs revising to address CRG member concerns or issues.
 - (b) Tabled BCRs are carried forth in the CRG meeting minutes until final disposition is agreed to.
 - (c) The status of a tabled BCR is added to the BCR Log on the NNSA/NV WSS Home Page.

6. MAINTENANCE OF EXISTING NV-WSS.

- a. AMNS will develop a revolving three-year plan to ensure one-third of the NV-WSS is reviewed and updated each year. For work activities common to more than a single entity/user, the CRG will sanction a team of affected CRG members to perform the review. For work activities performed by a single entity/user, that entity/user will perform the review.
- b. When changes are necessary, the reviewing organization and teams prepares and submits the necessary BCR in accordance with Chapters III and IV of this Manual.
- c. BCRs are processed in accordance with this chapter.

Figure 1. CRG CHANGE CONTROL PROCESS FLOWCHART



CHAPTER IV

BASELINE CHANGE REQUEST

1. GENERAL. This chapter provides format and guidance information on the preparation of BCRs. The numbers below correspond to the block numbers on the BCR form (see Attachment 4).
 - a. Item 1: Title. Provide descriptive title for the BCR; include WBS title and number when appropriate.
 - b. Item 2: BCR Number. BCR number, used for CRG identification and control purposes, is assigned by the CRG coordinator upon submittal.
 - c. Item 3: Originator's Control Number. Originator control number, used for originator control purposes, is optional.
 - d. Item 4: Originator's Name and Organization. Typed name of originator and organizational unit who prepared the BCR.
 - e. Item 5: Date. Date BCR was prepared. If revised, include the additional date of revision.
 - f. Item 6: Change Type. Mark an X in the appropriate space provided to identify the type of change.
 - (1) New. WBS activity and Format-1.
 - (2) Revision. Modification to an existing WBS Activity and Format-1.
 - g. Item 7: Priority. Mark an X in the appropriate space provided to identify priority of the change request.
 - (1) Emergency. A change needed to prevent a life threatening situation.
 - (2) Urgent. A change needed to correct a potentially hazardous condition; prevent imminent injury to personnel or immediate damage to plant or equipment; negatively impact the environment; allow for significant cost

reductions; or avoid significant cost increases if an immediate decision is made. An urgent priority change may be made to avoid missing regulatory deadlines.

(3) Routine. All changes that do not fit the criteria above.

- h. Item 8: Affected WBS Numbers and Titles. Identify, by WBS number and title, any other WBS activity related to or affected by the BCR.
- i. Item 9: Submitted By Division Director/Equivalent or Higher or a CRG Member Representative. Provide the typed name, title, signature, and date of the responsible management representative submitting the requested change. This person or his/her representative will present the proposed change to the CRG.
- j. Item 10: Disposition and Disposition Authority. The dispositioner marks in the space provided the Disposition of the requested change. Provide the typed name, title, signature, and date of the chairperson of the CRG presiding at the meeting in which the final Disposition was made and the signature and date of the Contracting Officer.
- k. Item 11: Addendum Information. Describe the requested change in sufficient detail to permit review and a cost and schedule impact evaluation by CRG members, SMEs, or IRs.

(1) Description.

- (a) Describe any document(s) to be added as an NV-WSS and identify the document by number, revision, and title. If the document is a change to an existing NV-WSS, briefly describe the substance and/or effect of the change.
- (b) Provide any additional descriptive information pertinent to the requested change.

(2) Recommended Action by the CRG. Describe the recommended action for the CRG. Provide recommended directions for specific modification of affected WSS WBSs, other sets of Standards, Format-1s, and contracts. This will provide instruction sufficient for a database technician or

contracts specialist to accurately incorporate the change in the NV-WSS baseline database, including specific List Bs, maintained on the NNSA/NV WSS Home Page and/or in the affected contract(s), and Activity Agreements.

- (3) Justification. Describe in detail the basis for requested change. Acceptable examples are:
- (a) New or changed work activity or capability exists or is being added that has not been previously recognized or addressed by the existing NV-WSS.
 - (b) New or changed hazards exist or will be encountered for which no Standards have been established or management issues associated with existing WBS work activities. Specify clearly the new or changed hazards and/or management issues that are being remedied by the change in Standards.

NOTE: The narrative provided in this section is used to defend changes in the NV-WSS and NV-WSS documentation and, therefore, needs to adequately describe the issues that are remedied by the change in Standards or NV-WSS documentation.

- (4) Cost Impact. Summarize cost impacts as provided by the reviewers. For initial submittals not yet reviewed by the CRG members, enter "TBD by CRG members."
- (5) Schedule Impact. Summarize schedule improvement or slippage as provided by the reviewers. For initial submittals not yet reviewed by the CRG members, enter "TBD by CRG members."
- (6) Impact on the Work if Change Is Not Made. Describe the impact on the work if the change is not made in terms of hazard or management issue mitigation, costs, schedule, technical, or programmatic objective impacts. Identify any assumptions and basis of assessment for the impact estimates.

(7) Attachments.

- (a) List all documents pertinent to the change request by titles, identifying numbers, and revisions. Attach all documents that are not readily available to CRG members. Documents available to the CRG on the Internet will be listed but do not need to be attached to the BCR. Electronic versions of all documents, including the BCR and Format-1s are preferred, if available.
- (b) If new Format-1s are involved, provide an electronic file in Microsoft Word. If a Format-1 is to be changed, include an electronic redline in/line out version showing all changes and a Format-1 with all changes incorporated.

CHAPTER V

**FORMAT AND CONTENT GUIDE
FOR PREPARING NV-WSS FORMAT-1**

1. PURPOSE. To provide guidance and information which can be used to ensure a Format-1 developed under NV-WSS requirements meets management expectations and includes the appropriate information.
2. APPLICABILITY. To be used by SMEs, IRs, SIT members, and NNSA/NV CRG members in developing and reviewing Format-1s.
3. GENERAL.
 - a. The Development of a Format-1 for a work activity represents the application of the first three core functions of ISM as defined in DOE P 450.4, INTEGRATED SAFETY MANAGEMENT SYSTEMS, and DEAR 970.5204-2 (define the work, identify the hazards, and identify the Standards and controls; see previous comments on DEARs). The Standards sets provided by the Format-1s define the Environment, Safety, and Health requirements of an organization's management systems and controls.
 - b. A Format-1 is to be prepared for each NV-WSS WBS element.
 - c. For work activities subject to the N&S closure process, Format-1, Sections 1 through 3 and Section 5, are the minimum acceptable information required. Other items of the Format-1 will be used when necessary to convey information pertinent to the work activity or management understanding of the related issues.
 - d. Guidance information on the content of Format-1 is provided in Chapter III. The following is the format of a Format-1:
 - (1) Work Activity.
 - (2) Hazards and Management Issues.
 - (3) Standards.

- (4) Measurement Parameters.
- (5) Implementation Considerations.
- (6) Work Environment.
- (7) Associated Program Uncertainties or Issues.
- (8) Training.
- (9) Vulnerabilities.

CHAPTER VI

FORMAT-1
SIGNATURE PAGE

A Format-1, Signature Page, is for use when a SIT is established by the CRG to produce a Format-1. The Format-1, Signature Page, provides a means to track participants and their acceptance of a Format-1. The Signature Page is processed by SMEs, IRs, and the SIT.

WBS Number: _____

WBS Element Title: _____

1. SME SUBMITTAL. The list of Laws, Regulations, DOE and NNSA Directives, industrial/commercial Standards, and other documents identified in Section c of the Format-1 contain the minimum N&S requirements, assuming adequate implementation, to protect the worker, the public, and the environment from adverse consequences.

_____	_____	_____
<i>SME Name (print)</i>	<i>Signature</i>	<i>Date</i>

2. This Format-1 is accepted by the SIT as adequate and appropriate.

_____	_____	_____
<i>Standards Identification Team</i>	<i>Signature</i>	<i>Date</i>
<i>Process Leader Name (print)</i>		

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3. IR JUDGMENT. The list of Laws, Regulations, DOE and NNSA Directives, industrial/commercial Standards, and other documents identified in Section c of the Format-1 contain the minimum N&S requirements, assuming adequate implementation, to protect the worker, the public, and the environment from adverse consequences.

IR Name (print)

Signature

Date

4. NO CONCURRENCE. Format-2 Signature Page and issues or concerns are attached.

IR Name (print)

Signature

Date

CHAPTER VII

FORMAT-2
SIGNATURE PAGE

1. **GENERAL.**

- a. A Format-2 is required when a SIT is assigned by the CRG to develop a Format-1 and an IR does not concur on the Format-1.
- b. The Format-2, Signature Page, provides for tracking of documentation and certifications of acceptance of the Format-1 and possible revised Format-1 being developed by the SIT after submittal for independent review. Revisions to the Format-1 may be made to the Format-1 as a result of concerns by the IR and consensus agreement by the SME, the IR, and the SIT Process Leader. The Format-2 provides the means to document agreement on the resolution of the issue/concern and acceptability of a revised Format-1, if revised.
- c. The Format-2, Signature Page, provides a means for the SIT to resolve the IR's issues or reject the IR's concerns; however, in such case, the issue/concern must be raised to the attention of the CRG by completing a Format-3 (see Chapter VIII).

WBS Number: _____

WBS Element Title: _____

2. I have dissented on the Format-1 because of disagreement over the issues or concerns listed in the attached comments.

IR Name (print)

Signature

Date

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3. This documentation package, including the IR comments, is accepted by the SIT.

Standards Identification Team
Process Leader Name (print)

Signature

Date

4. The revised Format-1 and/or the proposed resolution to issues identified and the list of Laws, Regulations, DOE and NNSA Directives, industrial/commercial Standards, and other documents identified in Section c of the Format-1 contain the minimum N&S requirements, assuming adequate implementation, to protect the worker, the public, and the environment from adverse consequences.

SME Name (print)

Signature

Date

5. The revised Format-1 and/or the proposed resolution to issues identified and the list of Laws, Regulations, DOE and NNSA Directives, industrial/commercial Standards, and other documents identified in Section c of the Format-1 contain the minimum N&S requirements, assuming adequate implementation, to protect the worker, the public, and the environment from adverse consequences.

IR Name (print)

Signature

Date

6. The SIT accepts the revised Format-1 as adequate or rejects the IR's issues or concerns and has completed an Issue Resolution Document, Format-3.

Standards Identification Team
Process Leader Name (print)

Signature

Date

CHAPTER VIII

**FORMAT-3
ISSUES RESOLUTION DOCUMENT AND SIGNATURE PAGE**

1. **GENERAL.**

- a. A Format-3 provides a means for a SIT to raise issues and concerns to the CRG for resolution.
- b. A Format-3 provides a means of tracking actions and certifications, when an IR's issues or concerns are rejected by the SIT. In such cases, the SIT completes the Format-3, the Issues Resolution Documentation, and submits the package of information including the Format-3.
- c. Issues referred to the CRG will be resolved by the CRG, including documentation by the CRG and signature by the chairperson, CRG, upon resolution.

2. **FORMAT.**

WBS Number: _____

WBS Element Title: _____

3. The following unresolved issue(s) or concern(s) has (have) been identified during review of the Format-1. A documentation package on the issue(s) is attached and addresses the position of the IR, SME, and SIT.

*Standards Identification Team
Process Leader Name (print)*

Signature

Date

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4. The issue(s) or concern(s) has (have) been resolved as described on the attached Issues Resolution Document and reflected in a revised Format-1, as resolved during a presentation at the CRG Meeting dated _____.
- Date*

*Standards Identification Team
Process Leader Name (print)*

Signature

Date

CRG Chairperson Name (print)

Signature

Date

5. This issue is beyond the Authority of the SIT to resolve and requires resolution by the CRG.

*Standards Identification Team
Process Leader Name (print)*

Signature

Date

6. This issue has been resolved by the CRG (include issue resolution documentation signed by the CRG chairperson).

CRG Chairperson Name (print)

Signature

Date

7. ATTACHMENT PAGES.

- a. Issue(s). (*Fully describe the issue(s) or concern(s). Use as many pages as necessary.*)

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VIII-3 (and VIII-4)

- b. Positions. *(Describe the position of the IR, SME, and SIT and provide the justification for the position of each.)*
- c. Resolution.
 - (1) If the issue has been resolved by the SIT, describe its resolution. If direction of the CRG in a CRG meeting was required to resolve the issue/concern, describe the CRG directed resolution. The SIT will provide a revised Format-1, when appropriate.
 - (2) If resolution is accomplished by the CRG, appropriate documentation will be developed by the SIT for the record and the Format-3 will be signed by the CRG chairperson.

CONTRACTOR REQUIREMENTS DOCUMENT

Contractors, national laboratories, other federal agencies, and other user organizations which have Nevada Work Smart Standards (NV-WSS) and/or B2 and B3 lists in their contracts must:

1. Participate with the National Nuclear Security Administration (NNSA) Nevada Operations Office (NNSA/NV) in the operation of the Change Review Group (CRG).
2. Provide qualified personnel to support CRG activities, including CRG members, coordinators, Subject Matter Experts, Independent Reviewers, and Standards Identification Team members as requested by the CRG chairperson.
3. Identify changes to the NV-WSS and B lists through ongoing review of new work; new or changed hazards and issues; new or revised Laws, Regulations, and Department of Energy and NNSA Directives; and industry and consensus Standards.
4. Ensure the Format-1s that are applicable to their work are routinely reviewed to ensure their accuracy and completeness.
5. Implement the NV-WSS and B lists as defined in contract or agreement on the work conducted under the purview of NNSA/NV.

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Attachment 2
Page 1 (and 2)

SPECIALIZED EXPERTISE TABLE

The Specialized Expertise Table will be an attachment to the Summary Resume.

NAME: _____

WBS No.*	Description*	Work Experience Summary**

* See NV-WSS WBS Structure or DOE/Tri-Lab WBS.

** Include specific work experience associated with the WBS element to show qualification for the NV-WSS role specified above. For Subject Matter Experts and Independent Reviewers, specify the number of years of experience.

**WORK SMART STANDARDS PROCESS
PERSONNEL CERTIFICATION FORMAT**

To be completed by individual to be certified

I _____ have read and understand the following reading assignments.

- DOE P 450.3, AUTHORIZING USE OF THE NECESSARY AND SUFFICIENT PROCESS FOR STANDARDS-BASED ENVIRONMENT, SAFETY, AND HEALTH MANAGEMENT, dated 1-25-96.
- DOE P 450.4, INTEGRATED SAFETY MANAGEMENT, dated 10-15-96.
- NV M 450.3XB, WORK SMART STANDARDS MANUAL.
- DEAR 970.5204-2, *Integration of Environment, Safety, and Health Into Work Planning and Execution*, and DEAR 970.5204-78, *Laws, Regulations, and DOE Directives*, dated June 1997, including associated contract appendices used to identify where the NV-WSS and other sets of Standards can be found on the Internet. (See previous comment on DEARs.)

Signature

Date

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Attachment 4
Page 1 (and 2)

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Rev. 06/2002
(Other Revisions Obsolete)

BASELINE CHANGE REQUEST (BCR) FORM

DOE/NV CHANGE REVIEW GROUP (CRG) NEVADA WORK SMART STANDARDS (NV-WSS)

1. Title:		2. BCR Number:	
		3. Originator's Control Number:	
4. Originator's Name and Organization:		5. Date:	
6. Change Type: <input type="checkbox"/> New <input type="checkbox"/> Revision <input type="checkbox"/> Directed	7. Priority: <input type="checkbox"/> Emergency <input type="checkbox"/> Urgent <input type="checkbox"/> Routine	8. Affected WBS Numbers and Titles:	
9. Submitted By:			
Signature _____		Date _____	
Name (<i>Print</i>) _____		Organization _____	
10. Disposition and Disposition Authority: <input type="checkbox"/> Approved <input type="checkbox"/> Approved With Conditions (Use a Continuation Sheet) <input type="checkbox"/> Disapproved			
Signature: _____		Date _____	
Chairman, CRG			
Signature: _____		Date _____	
NNSA/NV Contracting Officer			

11. Addendum Information (Use a Continuation Sheet if needed)

Description:

Recommended Action by the CRG:

Justification:

Cost Impact:

Schedule Impact:

Impact on the Work if Change Is Not Made:

Attachments:

ACRONYMS

AMBFS	Assistant Manager for Business and Financial Services
AMEM	Assistant Manager for Environmental Management
AMNS	Assistant Management for National Security
AMTS	Assistant Manager for Technical Services
BCR	Baseline Change Request
CRD	Contractor Requirements Document
CRG	Change Review Group
DEAR	DOE Acquisition Regulation
DOE	Department of Energy
HRD	Human Resources Division
IR	Independent Reviewer
LANL	Los Alamos National Laboratory
LLNL	Lawrence Livermore National Laboratory
N&S	Necessary and Sufficient
NNSA/NV	National Nuclear Security Administration Nevada Operations Office
NV-WSS	Nevada Work Smart Standards
OPR	Office of Primary Responsibility
REOP	Real Estate/Operations Permit
SIT	Standards Identification Team
SME	Subject Matter Expert
SNL	Sandia National Laboratories
WBS	Work Breakdown Structure